

CONTRACT REQUESTS FORM (CRF)

CEC-94 (07/10)

CALIFORNIA ENERGY COMMISSION



☐ New Contract ☒ Amendment to Existing Contract: 500-02-004 Amendment Number: 4

Division	Contract Manager:	MS-	Phone	CM Training Date
Energy Research and Development	Cathy Turner	43	916-327-1313	5/17/2007

Contractor's Legal Name	Federal ID Number
The Regents of the University of California, - CIEE	94-3067788

Title of Project
Master Research Agreement with Regents of the University of California - CIEE

Term	Start Date	End Date	Amount
New/Original Contract	9/1/2002	3/31/2006	\$ 20,000,000

Line up the Amendment information as best as possible within the following table.

Amendment #	End Date (mm/dd/yy)	Amount
Amendment 1	3/31/2008	\$5,000,000
Amendment 2	3/31/2009	\$25,000,000
Amendment 3	6/30/2011	\$37,000,000
Amendment 4	2/29/2012	\$0

Business Meeting Information			
Proposed Business Meeting Date	5/4/2011	<input type="checkbox"/> Consent	<input checked="" type="checkbox"/> Discussion
Business Meeting Presenter	Mike Gravely	Time Needed:	5 minutes

Agenda Item Subject and Description
Possible approval of amendment 4 to agreement 500-02-004 with The Regents of the University of California, - California Institute Energy and Environment (CIEE) for a 8 month no-cost time extension, to complete eight (8) critical projects that require additional time.

Business Meeting approval is not required for the following types of contracts: <i>Executive Director's signature is required in all cases.</i>
<input type="checkbox"/> Contracts less than \$10k (<i>Policy Committee's signature is also required</i>)
<input type="checkbox"/> Amendment for a no-cost time extension. Must be first extension, less than one year and original contract less than \$100k.
<input type="checkbox"/> Contracts less than \$25k for Expert Witness in Energy Facility licensing cases and amendments.

Purpose of Contract or Purpose of Amendment, if applicable
There are eight critical WAs underway that would benefit from a eight-month no-cost time extension to allow the California Energy Commission to fully benefit from the research projects. The research derived from these outstanding work authorizations will provide much needed information and results in several areas that include Carbon Sequestration, Demand Response, Smart Grid Reliability, Energy Efficiency in Heating, Ventilation and Air Conditioning, Lighting, and Buildings, both commercial and residential. To stop these research projects now, prior to receiving all of the research results, would not be cost effective and would jeopardize the loss of United States Department of Energy funds. Also, it would fail to provide the information needed by the Energy Commission now and in the near future to make informed decisions regarding directions to take in the technology areas mentioned above. If this extension is not approved, several new contracts will need to be initiated to complete this work and result in added cost to the California Energy Commission and the State of California.

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**California Environmental Quality Act (CEQA) Compliance**

1. Is Contract considered a "Project" under CEQA?
☒ Yes: skip to question 2 ☐ No: complete the following (PRC 21065 and 14 CCR 15378):
 Explain why contract is not considered a "Project":
 Contract will not cause direct physical change in the environment or a reasonably foreseeable indirect physical change in the environment because .
2. If contract is considered a "Project" under CEQA:
☒ a) Contract **IS** exempt. (Draft NOE required)
☐ Statutory Exemption. List PRC and/or CCR section number: _____
☒ Categorical Exemption. List CCR section number: 14 CCR 15306
☐ Common Sense Exemption. 14 CCR 15061 (b) (3)
 Explain reason why contract is exempt under the above section:
 Class 6 - Basic data collection, research, experimental management, and resource evaluation activities that do not result in major disturbances to an environmental resource.
☐ b) Contract **IS NOT** exempt. The Contract Manager needs to consult with the Energy Commission attorney assigned to their division and the Siting Office regarding a possible Initial Study.

Budgets Information

Contract Amount Funded		Breakdown by FY			Funding Sources			
Funding Source	Amount	FY	Amount	Approved?	Funding Source	FY	Budget List No.	Amount
ARFVTF	\$		\$					\$
ECAA	\$		\$					\$
State- ERPA	\$		\$					\$
Federal	\$		\$					\$
PIER - E	\$		\$					\$
PIER - NG	\$		\$					\$
Reimbursement	\$		\$					\$
Other	\$		\$					\$
TOTAL:	\$0	TOTAL:	\$0		TOTAL:			\$0
Reimbursement Contract #:					Federal Agreement			

Contractor's Administrator/ Officer

Name:	Lourdes DeMattos	Name:	Carl Blumstein
Address:	1111 Franklin St. 7th Floor	Address:	2087 Addison St Fl 2
City, State, Zip:	Oakland, CA 94607-5200	City, State, Zip:	Berkeley, CA 94704-1103
Phone/ Fax:	510-987-9850 / 510-835-3705	Phone/ Fax:	/
E-Mail:	Lourdes.DeMattos@ucop.edu	E-Mail:	blumstei@berkeley.edu

Contractor Is

- ☐ Private Company (including non-profits)
☒ CA State Agency (including UC and CSU)
☐ Government Entity (i.e. city, county, federal government, air/water/school district, joint power authorities, university from another state)

Selection Process Used

- ☐ Solicitation Select Solicitation Type Solicitation #: _____
☐ Non Competitive Bid (Attach CEC 96)
☒ Exempt Interagency

Civil Service Considerations

- ☒ Not Applicable (Contract is with a CA State Entity or a membership/co-sponsorship)
☐ Public Resources Code 25620, et seq., authorizes the Commission to contract for the subject work. (PIER)

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- ☐ The Services Contracted:
- ☐ are not available within civil service
 - ☐ cannot be performed satisfactorily by civil service employees
 - ☐ are of such a highly specialized or technical nature that the expert knowledge, expertise, and ability are not available through the civil service system
- ☐ The Services are of such an:
- ☐ urgent
 - ☐ temporary, or
 - ☐ occasional nature
- that the delay to implement under civil service would frustrate their very purpose.

Justification:**Payment Method**

- ☒ A. Reimbursement in arrears based on:
- ☐ Itemized Monthly
 - ☒ Itemized Quarterly
 - ☐ Flat Rate
 - ☐ One-time
- ☐ B. Advanced Payment
- ☐ C. Other, explain:

Retention

1. Is contract subject to retention? ☒ No ☐ Yes
- If Yes, Do you plan to release retention prior to contract termination? ☐ No ☐ Yes

Justification of Rates

Rates charged by the Regents of the University of California, are the standard negotiated overhead rates with the California Energy Commission, and standard rates for personnel classification.

Disabled Veteran Business Enterprise Program (DVBE)

1. ☒ Not Applicable
2. ☐ Meets DVBE Requirements DVBE Amount:\$ _____ DVBE %: _____
- ☐ Contractor is Certified DVBE
 - ☐ Contractor is Subcontracting with a DVBE: _____
3. ☐ Requesting DVBE Exemption (attach CEC 95)

Is Contractor a certified Small Business (SB), Micro Business (MB) or DVBE?

- ☒ No ☐ Yes
- If yes, check appropriate box: ☐ SB ☐ MB ☐ DVBE

Is Contractor subcontracting any services?

- ☒ No ☐ Yes
- If yes, give company name and identify if they are a Small Business (SB), Micro Business (MB) and/or DVBE:
- | | | | | |
|--|-----------------------------|-----------------------------|-----------------------------|-------------------------------|
| | <input type="checkbox"/> No | <input type="checkbox"/> SB | <input type="checkbox"/> MB | <input type="checkbox"/> DVBE |
| | <input type="checkbox"/> No | <input type="checkbox"/> SB | <input type="checkbox"/> MB | <input type="checkbox"/> DVBE |
| | <input type="checkbox"/> No | <input type="checkbox"/> SB | <input type="checkbox"/> MB | <input type="checkbox"/> DVBE |
| | <input type="checkbox"/> No | <input type="checkbox"/> SB | <input type="checkbox"/> MB | <input type="checkbox"/> DVBE |
| | <input type="checkbox"/> No | <input type="checkbox"/> SB | <input type="checkbox"/> MB | <input type="checkbox"/> DVBE |
| | <input type="checkbox"/> No | <input type="checkbox"/> SB | <input type="checkbox"/> MB | <input type="checkbox"/> DVBE |
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| | <input type="checkbox"/> No | <input type="checkbox"/> SB | <input type="checkbox"/> MB | <input type="checkbox"/> DVBE |

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**Miscellaneous Contract Information**

- | | | |
|---|--|---|
| 1. Will there be Work Authorizations? | <input type="checkbox"/> No | <input checked="" type="checkbox"/> Yes |
| 2. Will there be IT expenditures? | <input checked="" type="checkbox"/> No | <input type="checkbox"/> Yes |
| 3. Is the Contractor providing confidential information? | <input checked="" type="checkbox"/> No | <input type="checkbox"/> Yes |
| 4. Is the contractor going to purchase equipment? | <input checked="" type="checkbox"/> No | <input type="checkbox"/> Yes |
| 5. Check frequency of progress reports
<input type="checkbox"/> Monthly <input checked="" type="checkbox"/> Quarterly <input type="checkbox"/> _____ | | |
| 6. Will a final report be required? | <input type="checkbox"/> No | <input checked="" type="checkbox"/> Yes |
| 7. Is the contract, with amendments, longer than a year? If yes, why? | <input type="checkbox"/> No | <input checked="" type="checkbox"/> Yes |

The Department of General Services has agreed to give the Commission blanket authority to execute multi-year contracts to support the Commission's RD&D Programs.

The following items should be attached to this CRF

- | | | |
|---|------------------------------|-----------------------------------|
| 1. Scope of Work, Attach as Exhibit A. | <input type="checkbox"/> N/A | <input type="checkbox"/> Attached |
| 2. Budget Detail, Attach as Exhibit B. | <input type="checkbox"/> N/A | <input type="checkbox"/> Attached |
| 3. CEC 96, NCB Request | <input type="checkbox"/> N/A | <input type="checkbox"/> Attached |
| 4. CEC 30, Survey of Prior Work | <input type="checkbox"/> N/A | <input type="checkbox"/> Attached |
| 5. CEC 95, DVBE Exemption Request | <input type="checkbox"/> N/A | <input type="checkbox"/> Attached |
| 6. Draft CEQA Notice of Exemption (NOE) | <input type="checkbox"/> N/A | <input type="checkbox"/> Attached |
| 7. Resumes | <input type="checkbox"/> N/A | <input type="checkbox"/> Attached |

Contract Manager_____
Date_____
Office Manager_____
Date_____
Deputy Director_____
Date

The following signatures are only required when contract approval is delegated to the Executive Office and not approved at a Business Meeting.
See Business Meeting Information Section.

Presiding Policy Committee_____
Date_____
Associate Policy Committee_____
Date_____
Executive Director_____
Date